

09/701057

FORM PTO-1300
(REV 12-20-99)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

44257.830001.000

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

INTERNATIONAL APPLICATION NO.
PCT/GB99/01094INTERNATIONAL FILING DATE
April 9, 1999PRIORITY DATE CLAIMED
5/26/98 and 11/13/98TITLE OF INVENTION
CAP CLOSURE

APPLICANT(S) FOR DO/EO/US

Henning Von Spreckelsen and Peter M. McGeough

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
 2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
 3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
 4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
 5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
 6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
 7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
 8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
 9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
 10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern document(s) or information included:
11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
 12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
 13. ☒ A **FIRST** preliminary amendment.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
 14. ☐ A substitute specification.
 15. ☐ A change of power of attorney and/or address letter.
 16. ☐ Other items or information:

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U.S. APPLICATION NO. (4 lines, see 37 CFR 1.31)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S FEE NO.	
09/701057		PCT/GB99/01094		44257.830001.000	
17. <input checked="" type="checkbox"/> The following fees are submitted:				CALCULATIONS PTO USE ONLY	
BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$970.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$840.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$690.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$670.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$96.00 ENTER APPROPRIATE BASIC FEE AMOUNT =					
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	11 - 20 =	0	X \$18.00	\$ 0	
Independent claims	3 - 3 =	0	X \$78.00	\$ 0	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00	\$ 0	
TOTAL OF ABOVE CALCULATIONS =				\$840.00	
Reduction of 1/2 for filing by snail entry, if applicable. A Snail Entry Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).				\$	
SUBTOTAL =				\$840.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$840.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.51). \$40.00 per property +				\$ 40.00	
TOTAL FEES ENCLOSED =				\$880.00	
				Amount to be:	\$
				refunded	
				charged	\$
a. <input checked="" type="checkbox"/> A check in the amount of \$880.00 to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 082623. A duplicate copy of this sheet is enclosed.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO: 11/22/00					
SIGNATURE: <i>Francis A. Sirr</i> Francis A. Sirr NAME 17,265 REGISTRATION NUMBER					



/701057

534 Rec'd PCT/PTO 22 NOV 2000Attorney Docket No. 44257.830001.000
EXPRESS MAIL NO. EL539957842US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Henning Von Spreckelsen and Peter M.
McGeough

Group Art Unit: _____

Serial No. _____

Examiner: _____

Filed: Herewith

For: CAP CLOSURE

CERTIFICATE OF MAILING BY EXPRESS MAILAssistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The undersigned hereby certifies that the following documents:

1. Transmittal letter for Patent Application
2. Utility Patent Application
3. Executed Combined Declaration and Power of Attorney
4. 4 sheets of formal drawings
5. Preliminary Amendment
6. Recordation Form Cover Sheet PTO 1595 with Executed Assignment and Recording Fee of \$40.00
7. Information Disclosure Statement
8. \$880.00 filing fee
9. Return postcard
10. Certificate of Mailing By Express Mail

relating to the above application, were deposited as "Express Mail", Mailing Label
No. EL539957842US with the United States Postal Service, addressed to Box PCT, the Assistant
Commissioner for Patents, Washington, D.C., 20231, on November 22, 2000.

November 22, 2000
Date

11/22/00
Date

Lynne Mobar
Mailer

Francis A. Sirr

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